

DBHDS Office of Crisis Operations Procedures and Protocol for Performance Based Grant Management

Data:

Key expectations:

A. Complete & Accurate

1. All required cells are expected to be completed with appropriate cell formatting.
2. Automated errors must be corrected on the spreadsheet prior to submission.
3. The CSB is expected to reference the Data Reporting Guide and sufficiently train staff in completing the spreadsheet.
4. The CSB is expected to outreach DBHDS for additional training and support if needed.
5. After three attempts during the fiscal year to address issues with completeness and accuracy of the spreadsheet, DBHDS will have a meeting with program staff to discuss performance and data management improvements.
6. It is incumbent upon CSB staff to assure these expectations are met.

B. Timely

1. Expected submission on or before the deadline:
 - **Spreadsheet Data, Quarterly Budget Summary, Quarterly Narrative Report** – Q1 due November 15th, Q2 due February 15th, Q3 due May 15th, and Q4 due August 15th (or the next business day should the deadline fall on a weekend, or holiday, etc.)
*Please reference addendums for appropriate program templates for above documents
 - **Annual Budget Summary, Annual Narrative Report** - August 15th
 - **Data spreadsheets are submitted via the sFTP server** - reference correspondence with DBHDS staff for accessibility for permissions to jail diversion folder
 - Quarterly and Annual Budget Summaries, Quarterly Narrative and Annual Narrative Reports to be submitted by email to DBHDS staff

2. There must be prior communication with DBHDS staff via email for extension or additional time **before** the day of deadline.

DBHDS staff will outreach the program point of contact with one reminder attempt - 7 days after the due date a letter will be sent to Executive Director indicating possible suspension of funds if data is not submitted within 7 days.

3. If there is not submission of data 30 days after the due date, this will result in suspension of warrants. Warrants will be suspended until data is received.

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Budget:

Key Expectations:

A. Annual Review of Budget

1. Annual review of the budget will begin on or about 60 days prior to 7/1 FY start date and will provide opportunity for budget review and line-item changes. Exact deadlines for budget documents will be determined by DBHDS staff and communicated precisely via email.
2. All funds must be in whole numbers and clearly identified by source, and whether they are restricted or not.
3. DBHDS staff will schedule meetings with programs to discuss changes and amendments, if necessary.
4. Approval for changes and amendments will be given within 30 days of 7/1 FY start date.
5. Award letters and approved budgets will be emailed to CSB Executive Director at least 30 days prior to 7/1 FY start date.
6. Updated Exhibit Ds will be emailed to the CSB Executive Director at least 30 days prior to 7/1 FY start date, if necessary.
7. If a program has not submitted an updated budget for FY and received approval, then warrants will be suspended and a letter will be sent to the Executive Director indicating this. All programs are required to submit new annual budgets whether changes are being made or not, with appropriate titling for fiscal year.

B. No changes will be permitted during the FY to appropriated line-item figures or expenditures without written proposal by CSB and written approval by DBHDS grant manager.

C. Only one budget amendment opportunity for line-item budget categories is permissible in the FY – proposals must be submitted between November 1st and December 31st.

1. All requests for reallocation *must* include the following:

- Why the funding is no longer needed in the original line item category
- The exact amount to be re-allocated and to what intended new category
- The intended date for implementation of the reallocation

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- Confirmation that the request is approved by the Executive Director of the requesting CSB

2. The expected goals for the reallocation of funds *must* include the following:

- How the change will increase access to or scope of services
- How the funding will make the program more efficient
- How the new funding allocation will meet a previously unmet need
- Why the intended change cannot be supported without the funding allocation change

D. All programs must submit itemized Quarterly Budget Summary on or before the deadline.

1. Prior communication with DBHDS staff via email for extension or additional time must be **before** the day of deadline.
2. All budgets must be in whole numbers and the funding source must be identified clearly. For example, if the funds are restricted mental health state general funds, they must be identified as MH Restricted State General Funds. No funding should have a decimal to note cents. For example, the amount of funds allocated should be \$XX,XXX not \$XX,XXX.XX
3. DBHDS staff will outreach program point of contact with one reminder attempt - at 7 days after the due date a letter will be sent to Executive Director indicating possible suspension of funds if QBS is not submitted within 7 days.
4. If there is not submission of the quarterly budget summary 30 days after the due date, this will result in suspension of warrants. Warrants will be suspended until summary is received.
 - **Spreadsheet Data, Quarterly Budget Summary, Quarterly Narrative Report** – Q1 due November 15th, Q2 due February 15th, Q3 due May 15th, and Q4 due August 15th
 - **Annual Budget Summary (ABS), Annual Narrative Report** – August 15th

E. All programs must submit itemized Annual Budget Summary on or before the deadline.

1. Communication with DBHDS staff via email for an extension or additional time must be **before** the day of deadline.
2. DBHDS staff will outreach program point of contact with one reminder attempt - at 7 days after the due date a letter will be sent to Executive Director indicating possible suspension of funds if ABS is not submitted within 7 days.

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3. If there is not submission of annual budget summary 30 days after the due date, this will result in suspension of warrants. Warrants will be suspended until summary is received.

- **Spreadsheet Data, Quarterly Budget Summary, Quarterly Narrative Report** – Q1 due November 15th, Q2 due February 15th, Q3 due May 15th, and Q4 due August 15th
- **Annual Budget Summary, Annual Narrative Report** – August 15th

4. If there is carryover from the fiscal year, a request for use of carryover funds must be sent in writing to DBHDS staff for approval.

- Carryover is not guaranteed to be approved for spending. DBHDS is authorized to apply carryover dollars to the subsequent FY award totals.

F. Budget summaries and review can be requested by DBHDS grant manager at any time during fiscal year.

1. If expenditures are inconsistent with the approved FY budget, a formal financial review will be conducted with the finance department at the CSB by DBHDS grant manager, and a meeting will be scheduled to review invoiced expenditures.
2. DBHDS will request audit materials 7 days prior to meeting.
3. Pending outcome of formal financial review, funding may be maintained, reduced, or terminated.

H. FY review of Annual Budget Summary by DBHDS staff

1. Communication will be made within 60 days if there are questions or need for further review.
2. If expenditures are inconsistent with the approved budget, a formal financial review will be conducted with the finance department at the CSB by the DBHDS grant manager, and a meeting will be scheduled to review invoiced expenditures.
3. DBHDS will request audit materials 7 days prior to meeting.
4. Pending outcome of formal financial review, funding may be maintained, reduced, or terminated.

Performance

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Key Expectations:

A. Annual negotiation of FY target performance goals:

1. Annual negotiation of FY target performance goals will begin on or about 60 days prior to FY start date 7/1 for all programs.
2. Agreed upon target performance goals will be referenced in the Award Letter to the CSB Executive Director at least 30 days prior to FY start date 7/1.
3. Quarterly Meetings/Site Visits will consistently involve discussion about target performance goals, cost per client figures, challenges and barriers, etc., so this will be a collaborative and mutual effort.

B. Submission of Quarterly Narrative Report (QNR) is expected on or before the deadline.

1. Communication with DBHSD staff via email for an extension or additional time must be **before** the day of deadline.
2. DBHDS staff will outreach program point of contact with one reminder attempt - at 7 days after the deadline a letter will be sent to Executive Director indicating possible suspension of funds if QNR is not submitted within 7 days.
3. If there is not submission of QNR summary 30 days after the due date, this will result in suspension of warrants. Warrants will be suspended until summary is received.
 - **Spreadsheet Data, Quarterly Budget Summary, Quarterly Narrative Report** – Q1 due November 15th, Q2 due February 15th, Q3 due May 15th, and Q4 due August 15th
 - **Annual Budget Summary and Annual Narrative Report** – August 15th

C. All programs must submit Annual Narrative Report on or before the deadline (for programs submitting Quarterly Narrative Reports, an Annual Narrative Report (ANR) is not required).

1. Communication with DBHDS staff via email for an extension or additional time must be **before** the day of deadline.
2. DBHDS staff will outreach program point of contact with one reminder attempt - at 7 days after the due date a letter will be sent to Executive Director indicating possible suspension of funds if ANR is not submitted within 7 days.
3. If there is not submission of ANR 30 days after the due date, this will result in suspension of warrant. Warrant will be suspended until report is received.

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- **Data, Quarterly Budget Summary, Quarterly Narrative Report** – Q1 due November 15th, Q2 due February 15th, Q3 due May 15th and Q4 due August 15th
 - **Annual Budget Summary, Annual Narrative Report** – August 15th
- D. Following Quarter 2 data review, if a program is not meeting projected goals, DBHDS will meet with CSB program staff to brainstorm possible improvements and solutions, and to get a comprehensive understanding of program barriers (ex: possible staff turnover, global pandemic, etc.) – DBHDS will send follow-up in writing detailing what was discussed and what efforts will be made to improve.
- E. After annual data review, if a program is not meeting projected goals, DBHDS will have a meeting with CSB program staff and will implement a Performance Improvement Plan (PIP) – CSB will have 14 days to respond with PIP, and DBHDS will respond with approval of PIP, or a request for changes/additions.
1. DBHDS will review this plan with CSB at monthly check-ins for status regarding progress.
- F. Following approval of the PIP by DBHDS staff, a letter will be issued to the CSB Executive Director regarding the institution of PIP and the reduction or termination of funding should goals within PIP not be met.
- G. After 3 months, DBHDS staff will evaluate the program and pending outcome, will either maintain funding, reduce funding, or terminate funding. A letter will be issued to Executive Director regarding the outcome.
- H. Timeline:
- August 15th – Q4 FY Deadline (Annual Totals)
 - September 15th – CSB is informed of need for PIP and meeting
 - October 1st – meeting deadline; approval of PIP
 - November 1st – PIP implemented
 - February 1st – (90 days) PIP/Program Evaluation Scoring and Determination